

**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	10/763,068
Filing Date	January 22, 2004
First Named Inventor	Peng, Xiaogang
Title	Monodisperse Core/Shell and Other Complex Structured Nanocrystals and Methods of Preparing the Same
Art Unit	1774
Examiner Name	To Be Assigned
Attorney Docket Number	40715-296579

I hereby appoint:

- ☒
- Practitioners associated with the Customer
- 
- Number:

023342

OR

- ☐
- Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

- ☐
- The address associated with the above-mentioned Customer Number

OR

- ☐
- The address associated with Customer Number:

OR

<input checked="" type="checkbox"/> Firm or Individual Name	Kilpatrick Stockton LLP				
Address	1001 West Fourth Street				
Address					
City	Winston-Salem	State	NC	ZIP	27101
Country	USA				
Telephone	336-607-7399	Fax	336-607-7500		

I am the:

- ☐
- Applicant/Inventor.
- 
- ☒
- Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Signature		Date	9/16/04
Name	Xiaogang Peng	Telephone	871 2018 (479)
Title and Company	NN-Labs, LLC, President		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

- ☒
- \*Total of 2 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

SEP 28 2004

PTO/SB/98 (08-04)

Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Peng et al.Application No./Patent No.: 10/763,068Filed/Issue Date: January 22, 2004Entitled: Monodisperse Core/Shell and Other Complex Structured Nanocrystals and Methods of Preparing the SameNN-Labs, a Limited Liability Company

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title, and interest

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

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3. From: \_\_\_\_\_ To: \_\_\_\_\_

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

**(NOTE:** A separate copy (i.e., a true copy of the original document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

XIAOGANG PENG

Printed or Typed Name

President

Title

Date

9/16/04  
479 871 2018

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**ASSIGNMENT OF INTELLECTUAL PROPERTY RIGHTS IN  
PATENT APPLICATION**

Whereas we the undersigned inventors have invented certain new and useful innovations as set forth in the patent application entitled

**MONODISPERSE CORE/SHELL AND OTHER COMPLEX STRUCTURED  
NANOCRYSTALS AND METHODS OF PREPARING THE SAME**

for which we have executed an application for a United States Patent which was filed in the U.S. Patent and Trademark Office on January 22, 2004, and which bears the Application No. 10/763,068.

For good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we the undersigned inventor(s) hereby:

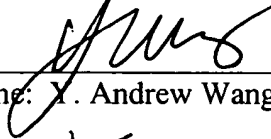
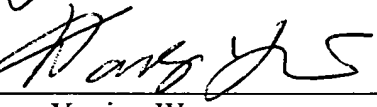
- 1) Agree to sell, assign, transfer, and convey, and hereby do sell, assign, transfer, and convey, to NN-Labs, LLC, having a place of business at GENESIS Technology Incubator, 700 Research Boulevard, Fayetteville, Arkansas, 72701 (hereinafter referred to as "ASSIGNEE"), the entire right, title, and interest in and to (a) any intellectual property (including without limitation any innovation, information, invention, discovery, product, process, work, copyright, or design) disclosed, embodied, affixed, shown, or claimed in the above-referenced patent application, implicitly or explicitly; (b) the above-referenced patent application, any application based in whole or in part upon the above-referenced patent application, and any application claiming priority to the above-referenced patent application (including without limitation any continuation, continuation-in-part, reissue, reexamination, or foreign patent application based in whole or in part on the above-referenced patent application or claiming priority to the above-referenced patent application); and (c) any Patent (including without limitation domestic and foreign patents, utility models, industrial designs, divisionals, reissues, and reexaminations) that is granted or issued upon, or that claims priority to, any and all applications under (b) of this paragraph or that discloses or claims intellectual property under (a) of this paragraph, in whole or in part.
- 2) Authorize and request the Commissioner of Patents or any other agency, domestic or foreign, to issue any and all Letters or other Patent(s), or other document(s), resulting from patent applications or intellectual property under paragraph 1 (including without limitation any division(s), continuation(s) (in whole or in part), substitute(s), or reissue(s) thereof) to the ASSIGNEE.
- 3) Agree to execute all papers and documents, including without limitation applications, declarations, oaths, petitions, and other papers, and, entirely at the ASSIGNEE'S expense, perform any acts which are necessary in connection with the prosecution of patent applications or intellectual property under paragraph 1 and/or the

enforcement of patents or other rights resulting from such applications or intellectual property.

4) Agree that the terms, covenants and conditions of this assignment shall inure to the benefit of the ASSIGNEE, its successors, assigns and other legal representative, and shall be binding upon the inventors, as well as the inventor's heirs, legal representatives, and assigns.

5) Warrant and represent that we have not entered, and will not enter into, any assignment, contract, or understanding that conflicts with this assignment.

Signed on the date(s) indicated beside our signatures.

- 1) Signature:  Date: 9/16/2004  
Typed Name: X. Andrew Wang
- 2) Signature:  Date: 9/16/2004  
Typed Name: Yunjun Wang

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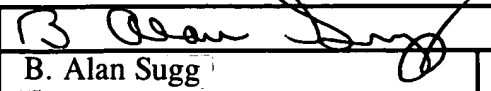
<input checked="" type="checkbox"/> Firm or Individual Name	Kilpatrick Stockton LLP				
Address	1001 West Fourth Street				
Address					
City	Winston-Salem	State	NC	ZIP	27101
Country	USA				
Telephone	336-607-7300	Fax	336-607-7500		

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**SIGNATURE of Applicant or Assignee of Record**

Signature		Date	9/23/04
Name	B. Alan Sugg	Telephone	
Title and Company	The Board of Trustees of the University of Arkansas		

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(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

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3. From: \_\_\_\_\_ To: \_\_\_\_\_

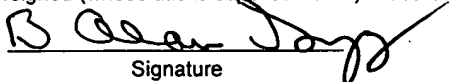
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Signature

9-23-04

Date

B. Alan Sugg

Printed or Typed Name

Telephone Number

President

Title

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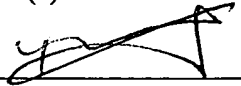
- 1) Agree to sell, assign, transfer, and convey, and hereby do sell, assign, transfer, and convey, to the Board of Trustees of The University of Arkansas, a public body corporate established under the laws of the State of Arkansas having a place of business at 2404 North University Avenue, Little Rock, Arkansas 72202, (hereinafter referred to as "ASSIGNEE"), the entire right, title, and interest in and to (a) any intellectual property (including without limitation any innovation, information, invention, discovery, product, process, work, copyright, or design) disclosed, embodied, affixed, shown, or claimed in the above-referenced patent application, implicitly or explicitly; (b) the above-referenced patent application, any application based in whole or in part upon the above-referenced patent application, and any application claiming priority to the above-referenced patent application (including without limitation any continuation, continuation-in-part, reissue, reexamination, or foreign patent application based in whole or in part on the above-referenced patent application or claiming priority to the above-referenced patent application); and (c) any Patent (including without limitation domestic and foreign patents, utility models, industrial designs, divisionals, reissues, and reexaminations) that is granted or issued upon, or that claims priority to, any and all applications under (b) of this paragraph or that discloses or claims intellectual property under (a) of this paragraph, in whole or in part.
- 2) Authorize and request the Commissioner of Patents or any other agency, domestic or foreign, to issue any and all Letters or other Patent(s), or other document(s), resulting from patent applications or intellectual property under paragraph 1 (including without limitation any division(s), continuation(s) (in whole or in part), substitute(s), or reissue(s) thereof) to the ASSIGNEE.
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prosecution of patent applications or intellectual property under paragraph 1 and/or the enforcement of patents or other rights resulting from such applications or intellectual property.


4) Agree that the terms, covenants and conditions of this assignment shall inure to the benefit of the ASSIGNEE, its successors, assigns and other legal representative, and shall be binding upon the inventors, as well as the inventor's heirs, legal representatives, and assigns.

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Signed on the date(s) indicated beside our signatures.

1) Signature:  Date: 9/16/04  
Typed Name: Xiaogang Peng

2) Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Typed Name: Jianqing Li

3) Signature:  Date: 9/16/04  
Typed Name: David Battaglia

Attorney Docket No: 40715-296579

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1) Agree to sell, assign, transfer, and convey, and hereby do sell, assign, transfer, and convey, to the Board of Trustees of The University of Arkansas, a public body corporate established under the laws of the State of Arkansas having a place of business at 2404 North University Avenue, Little Rock, Arkansas 72202, (hereinafter referred to as "ASSIGNEE"), the entire right, title, and interest in and to (a) any intellectual property (including without limitation any innovation, information, invention, discovery, product, process, work, copyright, or design) disclosed, embodied, affixed, shown, or claimed in the above-referenced patent application, implicitly or explicitly; (b) the above-referenced patent application, any application based in whole or in part upon the above-referenced patent application, and any application claiming priority to the above-referenced patent application (including without limitation any continuation, continuation-in-part, reissue, reexamination, or foreign patent application based in whole or in part on the above-referenced patent application or claiming priority to the above-referenced patent application); and (c) any Patent (including without limitation domestic and foreign patents, utility models, industrial designs, divisionals, reissues, and reexaminations) that is granted or issued upon, or that claims priority to, any and all applications under (b) of this paragraph or that discloses or claims intellectual property under (a) of this paragraph, in whole or in part.

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Application No. 10/763,068

Attorney Docket No: 40715/296579

Filed: January 22, 2004

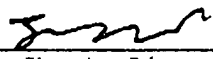
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2) Signature:  \_\_\_\_\_ Date: 9/16/2004  
Typed Name: Jianqing Li

3) Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Typed Name: David Battaglia